

Basel, 23 November 2016

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EPIC BANKRUPTCY SOLUTIONS, LLC

Form 210A (10/06)

**United States Bankruptcy Court  
Southern District Of New York**

In re Lehman Brothers Holdings Inc., et al.,

Case Nos. 08-13555 (JMP)  
(Jointly Administered)

**NOTICE OF TRANSFER OF CLAIM OTHER THAN FOR  
SECURITY, PURSUANT TO FED. R. BANKR. P. 3001(e)(2)**

A CLAIM HAS BEEN FILED IN THIS CASE, by Union Bancaire Privée, UBP SA (the "Transferor"), against Lehman Brothers Holdings Inc., which has been designated as Claim No. 55500 (the "Claim"). Transferee (as that term is defined below) hereby gives evidence and notice, pursuant to Fed. R. Bankr. P. Rule 3001(e)(2), of the transfer, other than for security, of the Claim, in the nominal amount of CHF 250,000 (the "Transferred Portion"). For the avoidance of doubt, the Transferred Portion relates to ISINs XS0341522687 and XS0313103003. A copy of the Evidence of Transfer of Claim (the "Evidence of Transfer") is attached hereto as Exhibit "A" and is incorporated by reference.

Name of Transferee

Bank J. Safra Sarasin Ltd

**Name and Address where notices to Transferee  
should be sent:**

Bär & Karrer AG  
Brandschenkestrasse 90  
CH-8027 Zurich  
Switzerland  
Attn: Peter Hsu  
Tel.: +41 58 261 50 00

**- with a copy to -**

Bank J. Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland  
Attn: Frank Link, Senior Legal Counsel, Legal  
Clients & Corporate  
Tel.: +41 (0) 58 317 45 83  
Patrick Gribi, Head Legal  
Tel.: +41 (0) 58 317 40 67

Name of Transferor

Union Bancaire Privée, UBP SA

**Name and Address where notices  
to Transferor should be sent:**

Union Bancaire Privée, UBP SA  
Rue du Rhône 96-98  
PO Box 1320  
CH-1211 Geneva  
Attn: Eric Schott  
Tel.: +41 58 819 21 11

Last Four Digits of Acct #: 4002

Last Four Digits of Acct. #: N/A

Name and Address where transferee payments  
should be sent (if different from above):

Bank J. Safra Sarasin Ltd  
Elisabethenstrasse 62,  
P.O. Box  
CH-4002 Basel  
Switzerland

Attn: Frank Link, Senior Legal Counsel, Legal  
Clients & Corporate  
Tel.: +41 (0) 58 317 45 83  
Patrick Gribi, Head Legal  
Tel.: +41 (0) 58 317 40 67

Court Claim # (if known): 55500  
Date Claim Filed: October 29, 2009  
Transferred Portion: USD 250,000  
(nominal amount)

I declare under penalty of perjury that the information provided in this notice is true and correct  
to the best of my knowledge and belief.

By: *F. Link*  
Transferee  
Name: Frank Link  
Title: Director

Date: *23 November 2016*

By: *N. Wahl*  
Transferee  
Name: Nicole Wahl  
Title: Vice President

Date: *23 November 2016*

*Penalty for making a false statement:* Fine of up to \$500,000 or imprisonment for up to 5 years,  
or both. 18 U.S.C §§ 152 & 3571.

**Exhibit A**





UNION BANCAIRE PRIVÉE

**EVIDENCE OF TRANSFER OF CLAIM**

**TO: THE DEBTOR AND THE BANKRUPTCY COURT**

For value received, the adequacy and sufficiency of which are hereby acknowledged, **UNION BANCAIRE PRIVEE, UBP SA** ("Transferor") unconditionally and irrevocably transferred to **Bank J. Safra Sarasin Ltd** all of its right, title, interest claims and causes of action in and to or arising under or in connection with its claim (Claim No. **55500**) in nominal amount of USD 250'000 **equal to an allowed claim of USD 215'130.79** related to the securities with International Securities Identification Numbers listed on Schedule I hereto against Lehman Brothers Holdings, Inc (the "Debtor"), Chapter 11 Case No.: 08-13555 (JMP) (Jointly Administered), United States Bankruptcy Court for the Southern District of New York (the "Bankruptcy Court").

Transferor hereby waives any objection to the transfer of the claim to Transferee on the books and records of the Debtor and the Bankruptcy Court and hereby waives to the fullest extent permitted by law any notice or right to a hearing as may be imposed by Rule 3001 of the Federal Rules of Bankruptcy Procedure, the Bankruptcy code, applicable local bankruptcy rules or applicable law. Transferor acknowledges and understands, and hereby stipulates, that an order of the Bankruptcy Court may be entered without further notice to Transferor regarding the transfer of the foregoing claim and recognizing the Transferee as the sole owner and holder of the claim. Transferor further directs the Debtor, the Bankruptcy Court and all other interested parties that all further notices relating to the claim, and all payments or distributions of money or property in respect of claim, shall be delivered or made to the Transferee.

IN WITNESS WHEREOF, this EVIDENCE OF TRANSFER OF CLAIM IS EXECUTED  
THIS 17<sup>th</sup> October 2016.

**UNION BANCAIRE PRIVEE, UBP SA**



Jean-Baptiste Erath  
Director



Eric Schott  
Associate



UNION BANCAIRE PRIVÉE

## Schedule I

### Lehman Programs Securities Related to Transferred Portion of Claim:

ISIN / Description	Court Claim	Date Claim Filed	Issuer	Nominal amount
ISIN XS0341522687	55500	29th October 2009	Lehman Brothers Treasury BV	USD 150'000
ISIN XS0313103003	55500	29th October 2009	Lehman Brothers Securities NV	USD 100'000



**J. SAFRA SARASIN**



Sustainable Swiss Private Banking since 1841

**By courier**

Epiq Bankruptcy Solutions, LLC  
Attn: Lehman Brothers Holdings Claims  
Processing  
757 Third Avenue, 3rd Floor  
New York, NY 10017  
USA

Basel, 23 November 2016

Your contact: Frank Link, T: +41 58 317 45 83

**Transfers of Claim other than for Security, Epiq Claims No. 55500 and 55521**

Dear Madam, dear Sir,

Bank J. Safra Sarasin Ltd is sending you herewith the enclosed 2 original copies of the completed 210A transfer forms, including copies of the evidence of transfer of claim regarding the transfer of claims (referring to claims no. 55500 and no. 55521) against Lehman Brothers Holdings Inc. by the following transferor:

Union Bancaire Privée, UBP SA, Rue du Rhône 96-98, PO Box 1320, CH-1211 Geneva

Yours sincerely

Bank J. Safra Sarasin AG

Nicole Wahl,  
Vice President

Frank Link  
Director

Enclosures



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NOV 28 2016  
EPIQ SYSTEMS

TNT		516634193		01/01		AIR XRAY		2	
LOCAL HUB:		BSL		23.11.16		LFR 4583 LEGAL		16328 20:16 1236CTJ	
TNT REF:		4A+ OUA 101114							
EXPRESS (DOCS)									
DELIVERY:		NEW YORK		A		10017			
DESTINATION:		NYC NY		US UNITED STATES		SPECIAL INSTRUCTIONS:			
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<b>Sender:</b> TNT Account: 10221 BANK J. SAFRA SARASIN Ltd 10017 4002 4002 Switzerland <b>Contact:</b> Post Office Tel: 0041583174316		<b>Delivery Address:</b> Epic Bankruptcy Solutions, LLC Lehman Brothers Holdings 757 Third Avenue, 3rd Floor NEW YORK GRAND CENTRAL NY 10017 United States Contact: Lehman Brothers Holdings Claims Processing Tel: +1 646-282-2500		<b>Shipping Date:</b> 23 Nov 2016 <b>Description of Goods:</b> Document 777 3R2 12	
<b>Sender Ref:</b> LFR 4583 Legal * 5 1 6 6 3 4 1 9 3 *				NON DANGEROUS GOODS	
<b>Services Options</b> (15D) Express		<b>No. of Pieces</b> 1 of 1 <b>Consignment Weight</b> 0.500 kg		SPECIAL DELIVERY INSTRUCTIONS NON DANGEROUS GOODS 1. NOT TO BE OPENED BY THE ADDRESSEE 2. NOT TO BE OPENED BY THE ADDRESSEE 3. NOT TO BE OPENED BY THE ADDRESSEE 4. NOT TO BE OPENED BY THE ADDRESSEE 5. NOT TO BE OPENED BY THE ADDRESSEE 6. NOT TO BE OPENED BY THE ADDRESSEE 7. NOT TO BE OPENED BY THE ADDRESSEE 8. NOT TO BE OPENED BY THE ADDRESSEE 9. NOT TO BE OPENED BY THE ADDRESSEE 10. NOT TO BE OPENED BY THE ADDRESSEE 11. NOT TO BE OPENED BY THE ADDRESSEE 12. NOT TO BE OPENED BY THE ADDRESSEE 13. NOT TO BE OPENED BY THE ADDRESSEE 14. NOT TO BE OPENED BY THE ADDRESSEE 15. NOT TO BE OPENED BY THE ADDRESSEE 16. NOT TO BE OPENED BY THE ADDRESSEE 17. NOT TO BE OPENED BY THE ADDRESSEE 18. NOT TO BE OPENED BY THE ADDRESSEE 19. NOT TO BE OPENED BY THE ADDRESSEE 20. NOT TO BE OPENED BY THE ADDRESSEE 21. NOT TO BE OPENED BY THE ADDRESSEE 22. NOT TO BE OPENED BY THE ADDRESSEE 23. NOT TO BE OPENED BY THE ADDRESSEE 24. NOT TO BE OPENED BY THE ADDRESSEE 25. NOT TO BE OPENED BY THE ADDRESSEE 26. NOT TO BE OPENED BY THE ADDRESSEE 27. NOT TO BE OPENED BY THE ADDRESSEE 28. NOT TO BE OPENED BY THE ADDRESSEE 29. NOT TO BE OPENED BY THE ADDRESSEE 30. NOT TO BE OPENED BY THE ADDRESSEE 31. NOT TO BE OPENED BY THE ADDRESSEE 32. NOT TO BE OPENED BY THE ADDRESSEE 33. NOT TO BE OPENED BY THE ADDRESSEE 34. NOT TO BE OPENED BY THE ADDRESSEE 35. NOT TO BE OPENED BY THE ADDRESSEE 36. NOT TO BE OPENED BY THE ADDRESSEE 37. NOT TO BE OPENED BY THE ADDRESSEE 38. NOT TO BE OPENED BY THE ADDRESSEE 39. NOT TO BE OPENED BY THE ADDRESSEE 40. NOT TO BE OPENED BY THE ADDRESSEE 41. NOT TO BE OPENED BY THE ADDRESSEE 42. NOT TO BE OPENED BY THE ADDRESSEE 43. NOT TO BE OPENED BY THE ADDRESSEE 44. NOT TO BE OPENED BY THE ADDRESSEE 45. NOT TO BE OPENED BY THE ADDRESSEE 46. NOT TO BE OPENED BY THE ADDRESSEE 47. NOT TO BE OPENED BY THE ADDRESSEE 48. NOT TO BE OPENED BY THE ADDRESSEE 49. NOT TO BE OPENED BY THE ADDRESSEE 50. NOT TO BE OPENED BY THE ADDRESSEE 51. NOT TO BE OPENED BY THE ADDRESSEE 52. NOT TO BE OPENED BY THE ADDRESSEE 53. NOT TO BE OPENED BY THE ADDRESSEE 54. NOT TO BE OPENED BY THE ADDRESSEE 55. NOT TO BE OPENED BY THE ADDRESSEE 56. NOT TO BE OPENED BY THE ADDRESSEE 57. NOT TO BE OPENED BY THE ADDRESSEE 58. NOT TO BE OPENED BY THE ADDRESSEE 59. NOT TO BE OPENED BY THE ADDRESSEE 60. NOT TO BE OPENED BY THE ADDRESSEE 61. NOT TO BE OPENED BY THE ADDRESSEE 62. NOT TO BE OPENED BY THE ADDRESSEE 63. NOT TO BE OPENED BY THE ADDRESSEE 64. NOT TO BE OPENED BY THE ADDRESSEE 65. NOT TO BE OPENED BY THE ADDRESSEE 66. NOT TO BE OPENED BY THE ADDRESSEE 67. NOT TO BE OPENED BY THE ADDRESSEE 68. NOT TO BE OPENED BY THE ADDRESSEE 69. NOT TO BE OPENED BY THE ADDRESSEE 70. NOT TO BE OPENED BY THE ADDRESSEE 71. NOT TO BE OPENED BY THE ADDRESSEE 72. NOT TO BE OPENED BY THE ADDRESSEE 73. NOT TO BE OPENED BY THE ADDRESSEE 74. NOT TO BE OPENED BY THE ADDRESSEE 75. NOT TO BE OPENED BY THE ADDRESSEE 76. NOT TO BE OPENED BY THE ADDRESSEE 77. NOT TO BE OPENED BY THE ADDRESSEE 78. NOT TO BE OPENED BY THE ADDRESSEE 79. NOT TO BE OPENED BY THE ADDRESSEE 80. NOT TO BE OPENED BY THE ADDRESSEE 81. NOT TO BE OPENED BY THE ADDRESSEE 82. NOT TO BE OPENED BY THE ADDRESSEE 83. NOT TO BE OPENED BY THE ADDRESSEE 84. NOT TO BE OPENED BY THE ADDRESSEE 85. NOT TO BE OPENED BY THE ADDRESSEE 86. NOT TO BE OPENED BY THE ADDRESSEE 87. NOT TO BE OPENED BY THE ADDRESSEE 88. NOT TO BE OPENED BY THE ADDRESSEE 89. NOT TO BE OPENED BY THE ADDRESSEE 90. NOT TO BE OPENED BY THE ADDRESSEE 91. NOT TO BE OPENED BY THE ADDRESSEE 92. NOT TO BE OPENED BY THE ADDRESSEE 93. NOT TO BE OPENED BY THE ADDRESSEE 94. NOT TO BE OPENED BY THE ADDRESSEE 95. NOT TO BE OPENED BY THE ADDRESSEE 96. NOT TO BE OPENED BY THE ADDRESSEE 97. NOT TO BE OPENED BY THE ADDRESSEE 98. NOT TO BE OPENED BY THE ADDRESSEE 99. NOT TO BE OPENED BY THE ADDRESSEE 100. NOT TO BE OPENED BY THE ADDRESSEE	